

## TECHNICAL EXHIBIT 1-001

## PERFORMANCE REQUIREMENTS SUMMARY (PRS)

PWS Paragraph Number	Standard	Performance Standard	AER (%)	Method of Surveillance*
5.2 Responding to Customer Inquiries				
5.2 Responding to Customer Inquiries	Quality	Inquiries are responded to accurately.	-	Customer Complaints
	Timeliness	Inquiries are responded to within four workday hours.	-	Customer Complaints
5.4 Receipt of Incoming Mail				
5.4 Receipt of Incoming Mail	Quality	Incoming mail is sorted to the correct Files Activity end unit or re-routed if incorrectly received. Incoming mail not being distributed or processed is stored in a secured area not open to the public.	3%	Random Sampling
	Timeliness	Incoming mail is identified and distributed to the appropriate area on a first in, first out basis, within eight workday hours, for both internal and external mail.	3%	Random Sampling
5.5 Initial File Receipt				
5.5.1.1 Receipt of List	Quality	No standards.	N/A	N/A
	Timeliness	No standards.	N/A	N/A
5.5.1.2 Listing Verification	Quality	No unprocessed blocks are filed. All re-processables and re-inputs without ABC codes blocks are returned for processing.	0.05%	Random Sampling
	Timeliness	Re-processables and re-inputs without ABC codes blocks are returned for processing within eight workday hours.	3%	Random Sampling
5.5.1.3 Errors	Quality	No standards.	N/A	N/A
	Timeliness	No standards.	N/A	N/A

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5.5.1.4 Missing and Additional Blocks	Quality	The Missing Block Report lists only blocks that have not been received, and reflects the current cycle and all previous cycles within the calendar year. All additional blocks (i.e., unprocessed blocks) are returned for processing.	1%	100% Inspection
	Timeliness	The Missing Block Report is submitted to the COTR within one week of the end of the cycle. All additional blocks are returned to processing within eight workday hours.	3%	100% Inspection
5.5.2 Transport to File Storage	Quality	No standards.	N/A	N/A
	Timeliness	No standards.	N/A	N/A
5.6 Files Services				
5.6.1 Filing	Quality	Returns and documents are locatable.	0.05%	Random Sampling
	Timeliness	Batch carts are available for return to Receipt and Control (or other specified location) within eight workday hours of receipt.	3%	Random Sampling
5.6.2 Loose Documents	Quality	Follow performance standards for 5.6.4.	N/A	N/A
	Timeliness	Follow performance standards for 5.6.4.	N/A	N/A

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5.6.3 General File Requests	Quality	The correct returns and documents, including required attachments, are pulled from files, charged out, and routed to the correct recipient as specified on the request. No additional documents or information are inadvertently included.	0.2%	Random Sampling with Customer Complaints
	Quality	At any time during the SOI program year there are no more than 30 SOI corporate returns, ten individual returns, two Form 706, and two Exempt Organization (EO) program returns missing for each site.	0%	See Surveillance Guide
	Timeliness	Special requests are initiated within 30 minutes of receipt. At least 90% of special requests are completed within 24 hours of receipt and 100% of special requests are completed within two workdays. Other requests are completed within four workdays during non-peak periods and within six workdays during peak periods, or as otherwise specified in Technical Exhibit 5-004.	8%	Random Sampling with Customer Complaints
5.6.4 Refiling and Filing of Associations and Attachments	Quality	Documents or blocks are refiled and charge-out information is nullified.	0.3%	Random Sampling
	Timeliness	Refiles sent from Unpostables, Questionable Refund Detection Team (QRDT)/QRP (Questionable Refund Program), Rejects, Error Resolution System (ERS), or Entity are refiled within two workdays.  Other refiles are refiled within ten workdays.	8%	Random Sampling

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5.6.5 Sorting and Sequencing of Work for NARA	Quality	Requests and refiles are sorted and sequenced in strict DLN order. All types of requests are merged before sending to the NARA FRC.	3%	Random Sampling with Customer Complaints
	Quality	Documents are sent to the correct NARA FRC (different NARA FRC locations hold different files).	3%	Random Sampling with Customer Complaints
	Timeliness	Requests are sent to the NARA FRC within one workday of receipt.	3%	Random Sampling with Customer Complaints
	Timeliness	Refiles are sent to the NARA FRC within eight workdays of receipt.	8%	Random Sampling with Customer Complaints
	Timeliness	The servicing NARA FRC is notified by no later than 2 p.m. each workday of the volume of requests and refiles being sent to the NARA FRC for service the following workday.	5%	Random Sampling with Customer Complaints
5.7 Specific File Requests				
5.7.1 AIMS	Quality	The correct returns, labels, and transcripts, if appropriate, are pulled, associated, and routed to the correct recipient as specified.	0.2%	Random Sampling with Customer Complaints
	Timeliness	Returns, labels, and transcript associations are completed within seven workdays. Returns, labels, and transcript associations are completed within 12 workdays.	25% 0%	Random Sampling with Customer Complaints

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5.7.2 Remittance Search	Quality	Form 4287 (Record of Discovered Remittance) is filled out correctly and completely.	1%	Planned Sampling
	Quality	Remittance searches result in finding requested remittance if it is located in the Files Activity. All discovered remittance is stored or held in a locked container until delivery to the SPC's Receipt and Control function.	1%	Planned Sampling
	Timeliness	Remittance searches are completed and discovered remittance is submitted to the SPC's Receipt and Control function within one workday of request.	3%	Planned Sampling
5.7.3 Research of Electronic Media	Quality	The correct returns and documents, including required attachments, are obtained from the electronic media and routed to the correct recipient as specified on the request. No additional documents or information are inadvertently included.	0.2%	Random Sampling with Customer Complaints
	Timeliness	Requests are completed within four workdays during non-peak periods and within six workdays during peak periods.	8%	Random Sampling with Customer Complaints
<b>5.8 Other File Services</b>				
5.8.1 Correspondence Imaging System Requests	Quality	The correct returns and documents, including required attachments, are pulled from files and charged out. All pages are scanned, and the scanned documents are the true image of the original. Documents are put back into the original, correct order, replaced in the files, and charge-outs are nullified.	3%	Random Sampling with Customer Complaints
	Timeliness	Requests for documents to be scanned are completed within six workdays during non-peak periods and within eight workdays during peak periods. Documents are refiled within ten workdays.	8%	Random Sampling with Customer Complaints
5.8.2 Processing of Undeliverables	Quality	Undeliverable notices are associated to the correct return; addresses are matched or sent to Notice Review if unable to match.	3%	Random Sampling
	Timeliness	Undeliverable notices are processed within five workdays in accordance with IRM 3.5.61.1.6(1).	8%	Random Sampling

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5.8.3 Transaction Record Filing (IDRS Associations)	Quality	The correct backup and source documents are associated. All Forms 5147 are accounted for in the cycle, and no documents are sent back prior to established guidelines.	0.2%	Random Sampling
	Timeliness	Documents are in a searchable order within 5 workdays and are associated and filed within 13 workdays of receipt of Form 5147. Documents that are missing items are held for at least 10 workdays, but not more than 15 workdays, before being returned to the originator.	8%	Random Sampling
5.8.4 Unique Associations	Quality	The correct backup and source documents are associated. All documents are accounted for in the cycle, and no documents are sent back prior to established guidelines.	0.2%	Random Sampling
	Timeliness	Documents are in a searchable order within 5 workdays and are associated and filed within 13 workdays of receipt. Documents that are missing items are held for at least 10 workdays, but not more than 15 workdays, before being returned to the originator.	8%	Random Sampling
<b>5.9 Retirement</b>				
5.9.1 Annual Retirement Estimate	Quality	The annual retirement estimate is based on historical and projected inventory.	5%	100% Inspection
	Timeliness	No timeliness standard.	N/A	N/A
5.9.2 Records Transmittal and Receipt	Quality	The SF 135 is filled out accurately and completely with the appropriate number of copies.	1%	100% Inspection
	Timeliness	The SF 135 is submitted to the RCO and COTR no later than two weeks prior to the requested shipping date.	3%	100% Inspection

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5.9.3 Notification	Quality	Notification accurately reflects the documents being retired.	3%	Planned Sampling
	Timeliness	Notification is provided one week prior to shipment.	3%	Planned Sampling
5.9.4 Preparing Documents for Transportation to NARA	Quality	All records transferred to the NARA FRC are in the applicable DLN, alpha, or TIN sequence within the boxes. Documents are in properly sized boxes, are packed vertically, and are packed to minimize shifting or movement within the box, while allowing for future refills and access for pulling.	0.5%	Random Sampling with Customer Complaints
	Timeliness	Documents are prepared for shipment prior to the scheduled shipping dates coordinated with the transportation provider.	5%	Random Sampling with Customer Complaints
5.10 Preparation for Destruction				
5.10 Preparation for Destruction	Quality	The ARM is notified of documents eligible for destruction. Documents are prepared for destruction in accordance with the specifications for each type of document.	0%	Random Sampling
	Quality	Records or files are not prepared for destruction while they are the subject of a pending request, appeal, or lawsuit under 5 USC 552 (FOIA), notwithstanding applicable disposition schedules.	0%	Random Sampling
	Quality	Form 11671 accurately reflects all records being submitted for destruction to the ARM.	0%	Random Sampling
	Timeliness	Documents are prepared for destruction in accordance with the time standards for each type of document.	8%	Random Sampling
5.11 Collection Statute Expiration Date Program				
5.11 CSED Program	Quality	All requests (i.e., charge-outs) are forwarded to the correct NARA FRC.	0%	Random Sampling with Customer Complaints
	Timeliness	Requests (i.e., charge-outs) for completion of the CSED pulls are provided to the NARA FRCs during the first quarter of each fiscal year.	1%	Random Sampling with Customer Complaints

\* Method of surveillance is subject to change